

M e m o r a n d u m

*Flex your power!
Be energy efficient!*

To: DISTRICT DIRECTORS
DEPUTY DISTRICT DIRECTORS - PROJECT DELIVERY

Date: December 16, 2003

File: 605



From: MARK LEJA
Chief
Division of Design

Subject: Project Shelf Guidance

As you know, the size of our project shelf continues to grow. When the funding situation improves we intend to remove projects from the shelf and as efficiently as possible ensure they are ready to be advertised.

The purpose of the attached Project Shelf Guidance is to provide a tool to assist project delivery staff in identifying critical activities that may be required due to the passage of time or any changed conditions. This guidance is focused on programmed projects that have reached the Ready to List (RTL) milestone. However, this guidance can also be utilized for those projects that are shelved prior to RTL.

This guidance document will continue to be updated as warranted. If you have any questions, please contact Tim Craggs at (916) 653-1027.

Attachment

bc: BFelker
RIwasaki
Project Delivery Chiefs
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Design Office Chiefs
Project Delivery Coordinators

Scott McGowen / SMcG/ dtafoya

PROJECT SHELF GUIDANCE

This guidance addresses those programmed projects that have reached RTL milestone.

A. Projects Shelved after RTL within the last 12 months

- These projects maintain their RTL Status if no changes have been made to the plan design file or the specifications file since shelving, therefore, resulting in changes to file dates.
- If changes are made to the PS&E the project will no longer be considered RTL
- No new standards (Design Standards, SSP's, Standard Plans, etc) will be integrated into the PS&E after it has been finalized.

B. Projects Shelved after RTL for over 12 months or Modified after RTL

- New work plans must be developed and resubmitted to DES-OE as a new Project PS&E submittal. Processing time to achieve RTL will depend on the extent of modifications.
- If changes are made to the PS&E the project will no longer be considered RTL
- New standards need to be evaluated and incorporated, consistent with Section 82.5, "Effective Date for Implementing Revisions to Design Standards", of the Highway Design Manual.
- The Project Shelf Guidance should be utilized as a tool to identify potential changes.

PROJECT SHELF GUIDANCE SUMMARY

Date: _____

District - Project EA#: _____

PPNO: _____

Program: *(STIP, SHOPP, TCRP, Minor A, etc)*. Construction Program Year: _____

Project County/Rte/KP (PM): _____ Date Project Shelved from OE: _____

Project Description: _____

Project Manager: _____ Phone Number: () - _____

The project noted above has been shelved after RTL. In order to assist in the re-activation of the project once funding becomes available, please utilize this tool to identify issues/products that will need to be considered prior to removing this project from the shelf.

Recognizing that all projects are unique with unique issues, this list is meant to be modified and added to as it is utilized.

PS&E-READY STATUS:

- ☐ Yes; project shelved for 12 months or less
- ☐ No; project shelved for more than 12 months
- ☐ No; Extraordinary project requirements as noted below remove this project from PS&E-Ready status

SUMMARY OF COSTS

| | ENGR EST @ RTL \$ | CURRENT ENGR EST \$ |
|----------------|----------------------|------------------------|
| CAPITAL | | |
| TOTAL | \$ | |

| SUPPORT | PRE-RTL SUPPORT \$ | POST-RTL SUPPORT \$ |
|-----------------------------------|-----------------------|------------------------|
| DESIGN | | |
| PROGRAM/PROJECT MANAGEMENT | | |
| ENVIRONMENTAL | | |
| ENGINEERING SERVICES – OE | | |
| RIGHT OF WAY | | |
| UTILITIES | | |
| TOTAL | \$ | |

| | ROUTINE \$ | MAJOR \$ |
|--------------------|------------|----------|
| MAINTENANCE | | |
| TOTAL | \$ | |

DESIGN CHECKLIST & COSTS:

Roadway Elements:

- | | |
|--------------------------|--|
| <input type="checkbox"/> | Review Project Plans and Special Provisions: |
| <input type="checkbox"/> | • Are there any new or deleted items of work? |
| <input type="checkbox"/> | • Review construction windows due to environmental commitments; consult with Construction |
| <input type="checkbox"/> | • Are there any new or revised standard plans that require specification changes? |
| <input type="checkbox"/> | • Review for new or revised SSPs since project was shelved |
| <input type="checkbox"/> | • Any new projects needing to coordinate with and/or old ones no longer needing to be coordinated with? |
| <input type="checkbox"/> | • Do traffic control SSPs need changing/updating? (New standard plans, new holidays/special events to avoid, new lane closure charts needed?); Consult with Traffic Operations |
| <input type="checkbox"/> | • Do traffic handling plans still work? (New volumes, conflicts with other projects, etc.); Consult with Traffic Operations |
| <input type="checkbox"/> | Review for any new SWPP requirements, update PS&E as appropriate |
| <input type="checkbox"/> | Review Cost Estimate: |
| <input type="checkbox"/> | • Are unit prices still acceptable? |
| <input type="checkbox"/> | • Are there any new or deleted items of work? |
| <input type="checkbox"/> | • Are there any new policies which will impact cost estimates? |
| <input type="checkbox"/> | • Have overhead costs such as bonding/insurance been considered? |
| <input type="checkbox"/> | • Update BEES, as necessary |
| <input type="checkbox"/> | • Report project cost changes to Project Manager |
| <input type="checkbox"/> | Any new or changes to design standards? (See Highway Design Manual Index 82 for Implementation Procedures) |
| <input type="checkbox"/> | Have new roadway appurtenance standards been introduced that would dictate a change in guardrail, median barrier, crash cushion, etc.? |
| <input type="checkbox"/> | Are approved design exceptions still valid (i.e., are conditions or reason for justification still current?) |
| <input type="checkbox"/> | Any change in site conditions: |
| <input type="checkbox"/> | • Review existing pavement for changes in deterioration |
| <input type="checkbox"/> | ○ Request new deflection study, if significant changes or basis for design is over 1½ years old |
| <input type="checkbox"/> | ○ Are repair techniques and strategies for project still appropriate to cost effectively extend pavement service life? |
| <input type="checkbox"/> | • Review structure sites (bridges, retaining walls, noise barrier foundations, etc.) for changes; contact DES as necessary |
| <input type="checkbox"/> | • Any new soil, existing grade, or terrain changes or movements; contact DES as necessary |
| <input type="checkbox"/> | • Perform field review for general site conditions |
| <input type="checkbox"/> | • Has other work taken place since we last looked (e.g. maintenance overlay, permit project, etc.)? |
| <input type="checkbox"/> | • Has other work taken place by nearby property owners, city or county beyond state R/W that will affect the project? |

- ☐
 - Are there any new drainage issues resulting from a change in site conditions?
- ☐ Review for new or revised Temporary Construction Easements
- ☐ Review for new or revised departmental policies that could affect the project
- ☐ Review for new or revised legal/safety precedents that are applicable to project
- ☐ Re-evaluate Project Construction Schedule and seasonal construction windows; contact Construction for input
- ☐ Update Project History File, as necessary
- ☐ Update RE File, as necessary
- ☐ Co-op Agreements still valid? Are there relinquishment considerations?
- ☐ Pavement/Rehabilitation strategy still valid?
- ☐ Change in product technology/materials/specifications?
- ☐ Degradation of existing facility within the project area due to age, storm damage, freeze, drought etc.?
- ☐ Update Project Engineer signature and license on Plans
- ☐ Perform final comparison and review of Roadway and Structure Plans

Structures Elements

- ☐ Update Structure Cost Estimate (BEES)
- ☐ Update Structures Special Provisions (SSP)
- ☐ Review plans for conformance to most current structures guidance material
- ☐ Update Structures Materials Handouts for bid package
- ☐ Update Structures Project Engineer signature and license on Structure Plans
- ☐ Perform final comparison and review of Roadway and Structure Plans
- ☐ Any new structure design standards or specifications?
- ☐ Any site condition changes (bridge site, retaining walls, noise barrier foundations, etc.); see Design above
- ☐ Changes to standards?

General Considerations

- ☐ Review the RE Office provisions; are they still appropriate?
- ☐ Are the Contractor facilities still appropriate, and available for the project?
- ☐ Did this project utilize, before shelving, A+B, Design Sequencing, Design-Build, or any other "special" contract provisions? If yes, should those provisions still be applied to the project? Any modifications needed in SSPs?
- ☐ Cost Escalation: Engineer's estimate reviewed for accuracy? Overhead cost such as bonding/insurance considered?
- ☐ Constructability Review: The project should be reviewed for "fatal flaws" to ensure it is biddable and buildable
- ☐ Traffic Charts: Traffic volumes/windows should be reviewed to ensure the project conforms to traffic delay mitigation requirements and remains biddable and buildable
- ☐ Temporary Construction permits still valid?
- ☐ State Furnished Material still available?
- ☐ Traffic numbers still valid upon which design was based?
- ☐ TMP still current?

- ☐ Are there any Geotechnical considerations that have changed?
- ☐ Relinquishment considerations: Are there aspects related to relinquishment that will change markedly as a result of shelving this project—including change in local conditions, substantive deterioration of the facility, or political sentiment that must be considered?
- ☐ Is new CPM required due to changes in working days, conditions, etc.?
- ☐
- ☐
- ☐

SUPPORT
PRE – RTL

SUPPORT
POST-RTL

ASSOCIATED DESIGN COSTS:

\$ _____

\$ _____

PROGRAM/PROJECT MANAGEMENT CHECKLIST & COSTS:

- ☐ Update Project Workplan
- ☐ • Review current schedule and durations
- ☐ • Review resources needed to complete project
- ☐ ○ Did a Consultant develop PS&E? If yes:
- ☐ ■ Check contract status
- ☐ ■ Check termination date to ensure that design support resources are available during construction
- ☐ • Identify funding sources, if additional funding is required
- ☐ • Update Funds Request, as needed
- ☐ • Process PCR for cost increases, as needed
- ☐ Review Project for scope changes
- ☐ • Process PCR for scope changes, as needed
- ☐ Review Project Charter, update as needed
- ☐ Review Project Communication Plan, update as needed
- ☐ Review Project Risk Management Plan, update as needed
- ☐ Notify & Obtain Stakeholder (Internal, RTPA, etc.) concurrences
- ☐ Review Programming Documents
- ☐ • Update FTIP, as needed
- ☐ • Process STIP Amendment, as needed
- ☐ Update STIP and SHOPP program data, as necessary
- ☐ Update District Delivery Plan
- ☐ Review & Document lessons learned
- ☐ Review Cooperative Agreement; Update as needed due to cost changes, new commitments, new schedule, new issues, etc.
- ☐ Resubmit Plans, Specifications and Estimate Package and Attachment A to Office Engineer
- ☐ Are working days still reasonable? (New holidays or special events to avoid); see Design above

- ☐ Update PMCS/CTIPS
- ☐ Are the construction windows (seasonal and environmental permits) still acceptable?
- ☐ Construction windows missed?
- ☐ Additional Season: Will new award date add an additional season/winter shutdown to the project? Cost, impacts on permits, traffic, special events, etc considered?
- ☐ Prevailing Wage Requirements: Project should be reviewed to ensure current prevailing wage requirements are included
- ☐ Project Staffing: Project schedules should have been adjusted to reflect project coming off the shelf. Adequate staff are available to perform the contract administration work. Projects are properly metered to level workload
- ☐ Conflict/Interdependency with adjacent projects: Project scopes for the project in question and adjacent on-going/upcoming projects have been reviewed to ensure original traffic handling/staging requirements are as planned or will be modified to conform to the changed condition
- ☐ Interdependency with other state or local projects: Impacts to other state or local projects have been considered, risks assessed and additional costs, if any, have been accounted for. This should include impacts pertaining to all aspects of the interdependent project(s), including any shift in political sentiment and/or other design/programming considerations.
- ☐ New CTC resolutions or policies that affect the project?
- ☐ Provide an estimate of how long it will take to ready shelf project for allocation after it is determined that funds are available
- ☐ Will funding from other contributors like LTC, Measures, Bonds, etc. still be available?
- ☐
- ☐

SUPPORT
PRE – RTL

SUPPORT
POST-RTL

ASSOCIATED PROGRAM/PM COSTS :\$ _____

\$ _____

SURVEYS/RIGHT OF WAY ENGINEERING CHECKLIST & COSTS:

- ☐ Assess changes in R/W requirements including revisions, deletions, new parcels, temporary construction easements and/or other easements that may need to be mapped.
- ☐ Assess changes to existing conditions or design that require a re-survey or additional surveys.
- ☐ Is project control (both horizontal and vertical) still in place or does it need to be re-established?
- ☐ Have notes and supporting data been delivered to Surveys?
- ☐ Do staking notes and supporting data need to be revised based on changes resulting from the review of items above?

- ☐ Do relinquishment agreements need to be updated?
- ☐ Is additional “state of good repair” work required due to deterioration of the existing facility?
- ☐ Any changes to monumentation needs?
- ☐ Has design been altered due to work by others—e.g., overlay by Maintenance, terrain changes that will impact earthwork, etc.?
- ☐
- ☐
- ☐

SUPPORT
PRE – RTL

SUPPORT
POST-RTL

ASSOCIATED SURVEYS/R/W ENGR COSTS:

\$ _____

\$ _____

ENVIRONMENTAL CHECKLIST & COSTS:

- ☐ Permit timelines: Do permits need to be updated?
- ☐ Environmental construction window-related to permits
- ☐ Age of the Environmental Document: Re-evaluation needed or soon to be needed?
- ☐ Review Environmental Document:
 - ☐ • Any change in APE footprint?
 - ☐ • Review mitigation requirements:
 - ☐ ○ Review cultural mitigation requirements (Phase 3 Archaeology); are they still applicable?
 - ☐ ○ Review hazardous waste mitigation (Aerially Deposited Lead, etc.); are they still applicable?
 - ☐ ○ Any changes to endangered species?
- ☐ Any changes in Storm Water regulations?
- ☐ Review permit requirements:
 - ☐ ○ Still applicable?
 - ☐ ○ Check dates; permits still in effect?
- ☐ Review Native American Coordination and reinitiate process if necessary.
- ☐ Since document approval, has the Department become a signatory on any Memorandums (FWS, EPA, ACOE, etc.) that might change proposed mitigation?
- ☐ Has new construction occurred adjacent, or in close proximity to project? If so, is there need to review noise, community impacts, air quality, etc.?
- ☐ Is the project still in compliance with air quality?
- ☐ Are there any changes now required due to new regulations?
- ☐ Is FHWA still in agreement with Environmental Document type?
- ☐ Are necessary funds and contracts available for mitigation and requirements of the Environmental Document?
- ☐
- ☐

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SUPPORT
PRE – RTL

SUPPORT
POST-RTL

ASSOCIATED ENVIRONMENTAL COSTS: \$ _____

\$ _____

ENGINEERING SERVICES – OFFICE ENGINEER CHECKLIST & COSTS:

- ☐ Check with District for any revisions to the plans, specs and estimate (PS&E)
- ☐ Request District to update the Attachment "A" and incorporate updates in the DES-OE database
- ☐ Incorporate any revisions in the plans, specs and estimate (BEES)
- ☐ Check and incorporate new or revised Standard Plans (NSP or RSP)
- ☐ Check the Standard Special Provisions (SSP) server for recent SSP updates
- ☐ Incorporate updated and/or edited SSPs
- ☐ Confer with the District for other revisions i.e. working days, start of construction, advertisement, and/or other necessary contract requirements
- ☐ Incorporate R/W Utility revisions in the plans and specs
- ☐ Any new Office Engineer procedures? Contact DES-OE as necessary
- ☐ Changes to standards?
- ☐ _____
- ☐ _____

SUPPORT
PRE – RTL

SUPPORT
POST-RTL

ASSOCIATED ENGR SERVICES-OE COSTS: \$ _____

\$ _____

RIGHT OF WAY CHECKLIST & COSTS:

- ☐ Review Right of Way obligations
- ☐ Review and re-issue Temporary Construction Easements; see Design above
- ☐ Identify any Right of Way property management requirements due to shelving
- ☐ Review and, as necessary, re-issue R/W Certification
- ☐ Review and, as necessary, re-issue any Right of Way work-around
- ☐ Review for significant changes in the realty market that could affect Right-of-Way estimate
- ☐ Identify and notify all new property owners not aware of project
- ☐ Any new parcels or easements needed?
- ☐ R/W estimates still valid (e.g. more development on parcels being purchased)?

- ☐ Check for increased “Liability” from ownership
- ☐ Check for impact on neighborhood (blight)
- ☐ Check for increased liability for “Inverse Condemnation” claims
- ☐ Check for expired temporary easements – that will have to be renegotiated or be condemned (additional lead-time requirements when unshelved)
- ☐ Check for expired permits
- ☐ Review impacted tenants’ rental agreements to determine if we can keep existing tenants longer, or if re-rents are a possibility
- ☐ Determine increased weeding and resources to maintain right of way for longer period of time
- ☐ Ensure Right of Way programming is sufficient. If not, inform Project Manager so that PCR can per performed
- ☐ Ensure Planning and Management has a cost screen with sufficient capital dollars identified in the proper fiscal years
- ☐ Ensure Right of Way can meet commitments with revised project schedule
- ☐ Check for cooperative agreements that may need to be initiated or updated
- ☐ When project is shelved, notify existing impacted property owners
- ☐ Review status of Relocation Assistance Program (RAP) claims
- ☐ Are there any excess land issues?
- ☐ Status of demolitions
- ☐ Mitigation: Are there any new mitigation requirements that would trigger a need for Right of Way to revise their capital cost estimates, support cost estimates or delivery lead time?
- ☐ Condemnation: Perform assessment of ongoing condemnation actions: continue or abandon – consider costs associated with decision.
- ☐ Are there railroad issues?
- ☐ Right of Entry for Environmental Studies: Does R/W need to obtain new or updated Right of Entries to allow Environmental to conduct re-evaluations?
- ☐ Review and request, as necessary, updated Title Reports when project is to be taken off the shelf.
- ☐ Review and revise estimated work hours and durations for new start and end dates and estimate any duplication of work that will need to be done.
- ☐ Verify that there is sufficient dollars in the Annual R/W Capital Plan to cover any shelf associate R/W Cost. .
- ☐
 - If additional funds are required and not included in the Annual R/W Capital Plan, District can process a R/W Allocation Change Request and obtain approval from HQ R/W Planning & Management to move funds from another project to cover the increase
- ☐
- ☐

SUPPORT
PRE – RTL

SUPPORT
POST-RTL

ASSOCIATED R/W COSTS:

\$ _____

\$ _____

UTILITIES CHECKLIST & COSTS:

- ☐ Review project site for any new utilities to relocate
- ☐ Review and re-issue Notice to Utility Companies
- ☐ Possible reimbursement of cost of materials ordered and staffing costs
- ☐ Assess utility company staff availability when unshelved
- ☐ Assess lack of utility company budget capacity to provide timely relocation when unshelved
- ☐ Need to revise utility agreements due to inflation of costs
- ☐
- ☐
- ☐
- ☐

SUPPORT
PRE – RTL

SUPPORT
POST-RTL

ASSOCIATED UTILITIES COSTS:

\$ _____

\$ _____

MAINTENANCE CHECKLIST & COSTS:

- ☐ Any new policies or changes to practices?
- ☐ Review facilities within existing project limits for further deterioration (additional failed areas/slab replacement/bridge deck replacement/erosion control)
- ☐ Determine costs to maintain facilities until the project is completed
- ☐ Additional maintenance projects needed as temporary stopgap measure?
- ☐ Additional damage to vegetation or other landscaping?
- ☐ Any new or deleted work due to maintenance projects?
- ☐
- ☐

ROUTINE

MAJOR MAINTENANCE

ASSOCIATED MAINTENANCE COSTS:

\$ _____

\$ _____